

SECTION J - LIST OF DOCUMENTS, EXHIBITS AND OTHER ATTACHMENTS

ATTACHMENT 3 - REPORTING REQUIREMENTS

ATTACHMENT 3 - REPORTING REQUIREMENTS

The following reports are required to be submitted by the Contractor. This list is subject to change at the discretion of the Contracting Officer (CO). Additionally, the distribution list and the content/format requirements for the reports will be determined by the CO. The form, format and level of detail of these reports shall not be substantially changed without the prior approval of the CO.

This list has been provided as the minimum reporting requirements and the omission of any reporting requirement of any applicable law or regulation, or DOE Directive (as provided in the S/RID) does not affect the obligation of the contractor to comply with such reporting requirement pursuant to the terms of the contract.

Report Name	Driver	Frequency	Approval Required
General Management			
Management Plan (Contractor management approach values, objectives, policies, requirement statements, and other)	DOE-FEMP	Within 30 days of contract award then, as requested by DOE	CO Approval
Revised Project Baseline and certified cost and pricing data	Contract Clause B.5.c. & Attachment 1, SOW	Within 6 months following contract award	CO Approval
Staffing Analysis	Contract Clause H.14.a.3.	Submit concurrently with the Revised Baseline; then, Semi-annually	CO Approval
Overtime Control Plan	Contract Clause I.127(c)	As requested by DOE CO	CO Approval
Semiannual Report on Overtime Use	Contract Clause I.127 (c)(5)	As requested by DOE CO	CO Information
Notification of Increase to Minimum Insurance Amounts	Contract Clause H.28.e.	as needed	CO Notification
Grievance Settlement Report (Rationale & dollars for each settled grievance)	DOE-FEMP	Monthly	CO Information
Contractors= Automated Office Support Strategy (AOSS)	Contract Clause H.29	Annually by 09/01 for next FY	CO Approval

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Report Name	Driver	Frequency	Approval Required
Small Business Subcontracting Plan (Previously known as Small, Small Disadvantaged and Women-owned Small Business Subcontracting Plan)	Contract Clause I.24	With proposal, and propose goals / changes by 08/01 for next FY.	CO Approval
Subcontracting Report for Individual Contracts (SF 294)	Contract Clause I.24 (j) (1)	Semi-annual, 04/30 & 10/30; and upon contract completion	CO Information
Summary Subcontract Report (SF 295)	Contract Clause I.24 (j) (2)	Annually by 10/30	CO Information
Organization Charts	Contract Clause H.13.a.	After contract award and as changes occur	CO Information
Key Personnel List	Contract Clause H.3	Within 30 days of notification of contract award	CO Approval
Modifications to the Key Personnel List including justification	Contract Clause H.3	Prior to changes	CO Approval
Organizational Conflicts of Interest Update (Annual certification)	DOE-FEMP CO	Annually by 01/15	CO Notification
Legal Management Plan	Contract Clause H.25	Within 90 days of contract award.	CO Approval
Notification of Labor Disputes and all relevant information.	Contract Clause I.29	As required by clause.	CO Notification
Comprehensive Stewardship Plan	Attachment 1, SOW, PBS-12 & Ohio EPA	Within 180 days of contract award & following changes	CO Approval initially & following changes
Contractor Travel Expenses Ceiling	Contract Clause H.17.a.	Annually prior to start of FY & prior to changes	CO Approval initially & following changes
Contract Close-Out Plan	Contract Clause F.7	Concurrent with letter declaring accomplishment of Site Completion	CO Approval

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Report Name	Driver	Frequency	Approval Required
Report of Confidential/Proprietary Information	Contract Clause H.12.c.	Upon request	CO Information
Commercial Printing Report	Government Printing and Binding Regulations Title IV, Section 49-1	Annually, as requested by DOE-HQ	CO Information
Printing and Publishing Three Year Plan	DOE-HQ Letter (1998)	Annually, as requested by DOE-HQ	CO Information
Energy Employees Occupational Illness Compensation Program Act (EEOICPA) as identified in DOE Letter DOE-806-01, dated August 10, 2001	EEOICPA Act of 2000	Monthly	CO Information
Schedule/Labor/Cost			
Make or Buy Plan	Contract Clause H.7.d.	Within 180 days of contract award & prior to changes	CO Approval initially & prior to changes
Contractor Review of Make or Buy Plan	Contract Clause H.7.d.	Annually	CO Notification
Walk-through Inspection	41CFR101-25.109-1 41CFR109-25.109-1(a)	Per PMR requirements	CO Notification
Precious Metal Inventory (ORNL Business Center for Precious Metal Sales and Recovery) [Inventory as of last day of FY]	41 CFR109-1.5110(f)(4)	Annually- After end of FY; No later than 10/15	CO Notification
Report of Exempted Motor Vehicles (Report of non-fleet vehicles)	FPMR 41CFR101-38.204-4 DOE PMR 109-38.204-4	On request	CO Notification
Agency Report of Motor Vehicle Data (Motor Vehicle data/Truck data Report; FAST database; previous FY data) [Federal Motor Vehicle Fleet Report]	41 CFR 109-38.903-50	Annually- After end of FY; No later than 10/15	CO Notification

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CFO Congressional Budget Estimate (to include Motor Vehicle Annual Forecast)	DEAR 945.570-8, DOE PMR 109-26.205-50(b) Public Law 99-272	Annually, upon request for next FY	CO Notification
Excess Personal Property Furnished to Non-Fed Recipients (Report of property excessed; previous FY data)	41 CFR 109-43.4701(c)	Annually by 10/31	CO Notification
Negotiated Sales Report (Report of sale of negotiated surplus property; previous FY data)	41 CFR 109-45.4702	Annually by 10/31	CO Notification
Quarterly Report on Sale of Property	DOE-OH request 10/99	Quarterly 1/31 for 1 st Qtr. 4/30 for 2 nd Qtr. 7/31 for 3 rd Qtr. 10/31 for end of FY	CO Notification
Physical Inventory of Equipment	DOE PMR 109-1.5110(f)(1)	Biennially by 10/15	CO Notification
Physical Inventory of Sensitive Items	DOE PMR 109-1.5110(f)(2)	Annually by 10/15	CO Notification
Personal Property Capital Equipment Report	DOE Request	Semi-Annually, April 15 th , October 15 th	CO Information
Annual Stores Inventory (Listing of stores inventory (printout))	DOE PMR 109-1.5110(f)(3) DOE-OH request 10/99	Annually by 10/15	CO Notification
Termination Inventories	FAR, Part 45 Subpart 45.508	Upon termination or completion of contract	CO Notification
Information as required by Title V of the Stewart B. McKinney Homeless Assistance Act (AMcKinney Act@)	42 U.S.C. 11411	Quarterly, as requested by DOE-HQ CR-80; report sent to DOE-OH	CO Information
10-year Utility Projection	O 430.1A	Annually	CO Information

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Report Name	Driver	Frequency	Approval Required
In-House Energy Management Report	O 430.1A, CRD 2 (f)	Quarterly and FY summary	CO Information
Government Property Missing, Lost, Damaged or Theft Report	41 CFR 109-1.5112 41 CFR 109-1.5113	Monthly	CO Information
Facility Infrastructure Closure Plan	DOE O 430.1A	Initial Plan; updates as necessary	CO Approval; on initial plan & updates
Maintenance Implementation Plan (MIP)	DOE 4330.4B	Changes to MIP for nuclear facilities shall be submitted and approved prior to implementation. For new nuclear facilities, submit MIP 90 days prior to startup.	COR Approval
Motor Vehicle Appropriate Report	OMB Circular No. A-11	Annually, upon request	CO Notification
Performance Measurement			
Maintenance Performance Indices Report (Status of Work Orders)	DOE 4330.4B	Quarterly	CO Information
IPEX acceptance or proposal for alternative	Contract Clause H.19.01.c.	Within 30 days of contract award	CO Approval
Finance			
Annual Activity Report for Internal Audit (Annual report of audit activities with a copy to the cognizant Office of Inspector General)	Contract Clause H.22 and I.113 (h), DOE Acquisition Guide, Cooperative Audit Strategy	Annually by 01/31	CO Information
Annual Audit Plan (Audit plan for the contractor's internal audit group for each ensuing fiscal year)	Contract Clause H.22 and I.113.(h), DOE Acquisition Guide, Cooperative Audit Strategy	Annually by 06/30	CO Information

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Report Name	Driver	Frequency	Approval Required
Financial Reports in support of Annual Financial Statement demonstrating compliance with Generally Accepted Accounting Principles (GAAP)	Financial Accounting Standards Board; GAAP; Contract Clause H.20	On request	CO Information
Erroneous Payments Reporting	DOE Letter DOE-0329-02, dated 2/19/02	Quarterly, 25 th of the month following end of FY quarter	CO Information
Certified Payroll Report	Contract Clause I.34(b)(1)	Weekly	CO Information
Technical – Environmental Compliance			
Consent Agreement/Federal Facility Compliance Agreement/Federal Facility Agreement and Remedial Investigation/Feasibility Study Monthly Progress Report (Report of significant activities completed during the preceding month. Quarterly provides status of implementation of remedial activities and specific effluent radionuclide data)	ACA, FFCA, FFA-CARE	Monthly and Quarterly	COR Approval
SARA 312 Annual Report (Emission discharges and releases of toxic chemicals, waste minimization and pollution prevention data)	OAC 3745-30	Annually	CO Information
SARA 313 Annual Report (Inventory of Toxic Chemicals)	EO 12856	Annually	CO Information
NPDES Discharge Monitoring Report (Monthly waste water discharge data, flow data, and concentrations of non-radioactive pollutants)	OAC 3745-33	Monthly	CO Information
NPDES Noncompliance Reports (Description of exceedances from permitted discharge limits, causes, and corrective actions)	NPDES Permit	As needed	CO Information

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Report Name	Driver	Frequency	Approval Required
Annual NESHAP Report (Radionuclide air emission data, description of emission sources, and dose to offsite residents)	40 CFR 61	Annually	CO Information
Annual Chief Financial Officers Report on the DOE Federal Facility Compliance Act	FFCA	As requested	COR Approval
Part A & B Permit Applications (Description of inventory and management of hazardous waste)	EPA Director's Findings & Orders (DF&O)	As required by DF&O	COR Approval
RCRA Annual Report (#49) (Description of inventory and management of hazardous waste)	OAC 3745-52-41 OAC 3745-65-75	Annually	COR Approval
Notice of Violation (NOV) Status Report (Update of Notices of Violations and Warning Letters from regulatory agencies)	DOE Ltr. EH-22	Semi-annually	CO Notification
RCRA Agency Summary Report (formerly the Affirmative Procurement Report- volume of products containing recoverable materials purchased in previous FY)	40 CFR 247 E.O. 13101	Annually, as requested by DOE-HQ	CO Notification
Annual Report of Waste Generated and Pollution Prevention Progress (Reports volumes and types of waste generated in the previous CY)	DOE 5400.1	Annually by 03/01	CO Information
Poly-Chlorinated Biphenyl (PCB) Annual Document Log (Log of PCBs)	TSCA	Annually by 07/01	COR Approval

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Report Name	Driver	Frequency	Approval Required
Integrated Environmental Management Plan (IEMP) [Plan details groundwater, surface water, sediment, air and biota (produce sampling/monitoring program)]	OU5 Remedial Design (RD) Work Plan DOE O 5400.1	Biennial Revision 01/01 of 2003, 2005, 2007. In alternate years (2004 and 2006) perform annual review by 01/01	CO Information
Awareness Plan	DOE 5400.1	Every 3 rd year in May	CO Information
Fuel Usage & Analysis Report (Summary of daily amount of fuel oil combusted and fuel analysis)	Ohio EPA Permits	Quarterly	CO Information
Well Plugging and Abandonment Information	ORC 1521.05(B)	Annually	CO Information
Integrated Environmental (IEMP) Monitoring Plan, Mid-Year Data Summary	IEMP (Rev. 2 or latest revision); Remedial Design Work Plan for Remedial Actions at Operable Unit 5	Annually by 11/30	CO Information
Site Environmental Report (Restoration of water, land and air pathways at FEMP; health hazards associated with radiation or radioactive materials; state, federal, local and DOE Compliance status, issues, and permits to meet the objectives of CERCLA, RCRA, CAA and CWA)	DOE O 5400.1	Annually by 06/01	COR Approval
Human Resources			
Advance Understandings on Human Resources Policies and Systems	Contract Clause H.14.h.	Within 30 days of notification of contract award	CO Approval
Compensation Increase Plan (Salary Plan)	DOE O 350.1 Chg.1	Annually by 10/15 of each year for the next CY	CO Approval

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Report Name	Driver	Frequency	Approval Required
Application for Contractor Compensation Approval (DOE F3220.5 for each of the five most highly compensated employees within the Contractor's Organization as reimbursed by DOE)	Contract Clause H.14.h.2, DOE Acquisition Letter 2000-12, dated 12/15/00	Annually by 02/01	CO Approval
Report of Compensation (Report of subtotal dollar amounts for exempt and nonexempt employees and individual compensation at \$100,000 and above)	DOE O 350.1 Chg.1	Semi-annually 04/15; 10/15	CO Information
Contractors Report of Frequency Distribution Compensation (Submitted with Report of Compensation) (only those instances outside the Salary Plan) (Report of frequency distribution of employee compensation)	DOE O 350.1 Chg. 1	Semi-annually	CO Approval
Report of Contractor Expenditures For Employee Supplementary Compensation (Break down of employee benefits compensation)	DOE O 350.1 Chg. 1	Annually by 3/1	CO Information
Summary Cost Report of Fringe Benefits	DOE-FEMP CO	60 days after contract award, then 04/15 for each CY end & 10/31 for each FY end, starting in FY01	CO Information
Contractor Salary-Wage Increase Expenditure (Reports breakouts for merit, promotion variable pay, special adjustments & structure movements for each pay structure)	DOE O 350.1 Chg.1	30 days after program year	CO Information

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Report Name	Driver	Frequency	Approval Required
Equal Opportunity SF100 (EEO-1)	41 CFR 60-1.7(a)(1), Contract Clause I.42 (b) (7)	Annually by 09/30	CO Information
Employment Reports for Disabled Veterans and Veterans of the Vietnam Era (Federal Contractor Veterans= Employment Report VETS-100)	Contract Clause I.45 (a)	Annually by 09/30	CO Information
Actuarial Valuation Reports (Report of annual actuarial valuation report for each DOE-reimbursed pension plan)	DOE O 350.1 Chg.1	Annually by 09/30 following the plan year	CO Notification
Form 5300 (Part of tax return submitted to the IRS that document the establishment, amendment, termination, spin-off, or merger of a plan)	DOE O 350.1 Chg.1	As required	CO Notification
Form 5500 (Part of tax returns submitted to the IRS for each DOE- funded pension plan. Includes Actuarial Certification and Employer Certification (sponsor/participating employer in FEMP pension plan.))	DOE O 350.1 Chg.1	Annually by 09/15 following the plan year	CO Notification
Semi-annual Davis Bacon Act Enforcement Report (Report of Davis- Bacon employment and wages)	29 CFR Part 5.7(b)	Semi-Annually	CO Notification
Collective Bargaining Negotiation Positions	DOE-FEMP	Prior to start of negotiations and prior to discussion of changes including quantification	CO Approval
Collective Bargaining Agreements	DOE O 350.1 Chg.1	ASAP after conclusion of negotiation	CO Notification

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Report Name	Driver	Frequency	Approval Required
Report of Settlement (Provides the Contracting Officer with a settlement summary after formal ratification of a collective bargaining agreement)	DOE O 350.1 Chg.1	30 days after contract settlement.	CO Notification
Report of Contractor Employment	DOE O 350.1 Chg.1	Quarterly 01/10; 04/10; 07/10; 10/10	CO Information
DOE Contractor Employment Distribution by Program (Submitted with Report of Contractor Employment)	DOE O 350.1 Chg.1	Quarterly 01/10; 04/10; 07/10; 10/10	CO Information
Headcount Report (For the Office of Worker and Community Transition, WT-1)	OIG Audit Report	Monthly	CO Information
Affirmative Action Compliance Program- Females and Minorities	41CFR60-1.40(a) 41CFR60-1.40(c) 41CFR60-2.14	Annual Update by 01/31	CO Notification
Affirmative Action Compliance Program- Veterans and Individuals with Disabilities	41CFR250.5(a) 41CFR250.40(b) 41CFR250.50(c) 41CFR741.40(b) 41CFR741.40(c)	Annual Update by 07/1	CO Notification
Technical – Safeguards & Security			
Cyber Security Program Plan (Annual computer protection plan)	DOE N 205.1	60 days after contract award then, Annually	CO Information
Security Incident Reports	DOE N 471.3	In accordance with Notice specified frequency	CO Notification
Protective Force Cost/Strength Report (Tally of protective force)	NN 513.1/DOE-HQ Ltr 06/20/97	Quarterly	CO Information
Overall Accountability Analysis Report (to DOE-OH) (Summary of nuclear materials activity from plant startup)	DOE O 474.1	Annually 01/15	CO Information

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Report Name	Driver	Frequency	Approval Required
Report on Nuclear Material Book Inventory (to DOE-OH) (Annual report of material (to DOE-OH))	DOE O 474.1	Annually 07/15	CO Information
Certification of Nuclear Material Inventory (DOE Form 742) (Inventory certification sent to DOE-OH when received from NMMSS (computer printout))	DOE O 474.1	Semi-annually	CO Information
Nuclear Material Transaction Journal ADP Transcription Sheet DP-740 (Receipts or shipments, monthly close (data file))	DOE O 474.1	As needed	CO Information
Material Control & Accountability: Normal Operating Losses (to NMMSS) (Monthly list of materials (data file))	DOE O 474.1	Monthly by 15th	CO Information
Nuclear Material Transaction Report DOE/NRC 741 (to receiver, and NMMSS) (Monthly nuclear materials transactions transfer form)	DOE O 474.1	DOE/NRC 741 each shipment to receiver; DOE/NRC 741 upload monthly to NMMSS.	CO Information
Report of Nuclear Material Physical Inventory (to DOE-OH) (Annual report of nuclear materials ending inventory- Category IV materials only)	DOE O 474.1	Biennially 01/15	CO Information
Fernald Physical Protection Plan	DOE O 470.1, Chg. 1	Annually	COR Approval
Self-assessment of MC&A System Effectiveness	DOE O 474.1	Annually	CO Information
Technical – Safety and Health			
Forecast of Foreign Travel	DOE O 551.1A, Section 4, Part c	Semi-annually, 2/1 and 8/1	CO Information

ATTACHMENT 3 - REPORTING REQUIREMENTS

Report Name	Driver	Frequency	Approval Required
Individual Accident/Incident Report (DOE F 5484.3) (Number of new and revised Individual Accident/Incident reports)	DOE O 231.1 Chg.2	Quarterly (To be submitted 01/25; 04/25; 07/25 & 10/25 for receipt by the CAIRS Data Coordinator)	CO Information
Tabulation of Work Hours and Vehicle Usage and Property Valuation (DOE F 5484.4) (Tabulation of Work Hours and Vehicle Usage and Property Valuation)	DOE O 231.1 Chg.2	Quarterly (The form mailed to the CAIRS Data Coordinator for receipt by 01/25; 04/25; 07/25; & 10/25).	CO Information
Annual Exposure Data Reporting (Radiation Exposure Information System Report)	DOE 231.1, Chg. 2	Annually by 03/31 for the preceding year	CO Information
PAAA Tracking System or Status Reports	Contract Clause H.23	On request	CO Information
Update of the Integrated Safety Management System (ISMS) Description Document	Contract Clause I.112 (e)	As soon as is practical, but no later than 01/31/01 then; Annually by 03/06	CO Approval
Review/Update of ISMS Safety Performance Objectives/Measures/ Commitments	Contract Clause I.112 (e)	As soon as is practical, but no later than 1/31/2001 then; Annually by 03/06	CO Approval
Authorization Agreement Certification (Contractor letter to DOE-FEMP certifying the annual review of the Authorization Agreement is complete & updated as necessary.)	Authorization Agreement	Annually by 03/06	CO Information

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Report Name	Driver	Frequency	Approval Required
Annual Emergency Readiness Assurance Plan (ERAP) (ERAP and 4 th Qtr. Metrics combined)	DOE O 151.1A, CRD	Annually by 10/01	COR Approval
Site Hazard Surveys (Site Hazard Assessment and Hazard Survey)	DOE O 151.1A, CRD	Update every 3 years minimum; more frequently as needed	CO Approval
Comprehensive Emergency Management Program Plan (FEMP Emergency Plan)	DOE O 151.1A, CRD	Update as needed	COR Approval
Employee Concern Program Status Report	DOE O 442.1	Monthly	CO Information
Radiological Performance Indicators	DOE STD-1098-99, Article 133.1.01	Monthly	CO Information
Startup Notification Report	DOE O 425.1B	Quarterly	CO Approval
USQ Program Summary Report	10 CFR 830.203 (f)	Annually 03/01	CO Information
Documented Safety Analysis Update	10 CFR 830.202(c)(2)	Annually 04/01	CO Approval
Annual Report of Environmental, Safety, and Health Assessments	DOE N. 231.1	Annually, for proceeding CY by 01/15	CO Information